

IFW 3621 \$

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TRANSMITTAL FORM

(to be used for correspondence after initial filing)

Number of Pages in This Submission

Application Number	09/833,049
Filing Date	April 11, 2001
First Named Inventor	Hogan
Art Unit	3621
Examiner Name	Greene, Daniel L.
Attorney Docket Number	070457.1000 (AP33154)

ENCLOSURES (Check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO 1449, references cited
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Baker Botts, LLP	Customer No.	21003
Signature	<i>[Signature]</i>		
Printed name	Manu J. Tejwani		
Date	10/23/2006	Reg. No.	37,952

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature	<i>[Signature]</i>		
Typed or printed name	Manu J. Tejwani	Date	10/23/2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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FEE TRANSMITTAL for FY 2005

Effective 10/01/2004, Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

(\$ 180)

Complete If Known

Application Number 09/833,049
Filing Date April 11, 2001
First Named Inventor Hogan
Examiner Name Greene, Daniel L.
Art Unit 3621
Attorney Docket No. 070457.1000 (AP33154)

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 02-4377

Deposit Account Name Baker Botts L.L.P.

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1001	2001	Utility filing fee	
1002	2002	Design filing fee	
1003	2003	Plant filing fee	
1004	2004	Reissue filing fee	
1005	2005	Provisional filing fee	
SUBTOTAL (1)			(\$ 0)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20 =	X	= 0
Multiple Dependent	-3 =	X	= 0
			= 0

Large Entity Fee Code	Small Entity Fee Code	Fee Description
1202	2202	Claims in excess of 20
1201	2201	Independent claims in excess of 3
1203	2203	Multiple dependent claim, if not paid
1204	2204	** Reissue independent claims over original patent
1205	2205	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0)

*or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity, Small Entity

Fee Code	Fee Description	Fee Paid
1051	2051 Surcharge - late filing fee or oath	
1052	2052 Surcharge - late provisional filing fee or cover sheet	
1053	1053 Non-English specification	
1812	1812 For filing a request for ex parte reexamination	
1804	1804 Requesting publication of SIR prior to Examiner action	
1805	1805 Requesting publication of SIR after Examiner action	
1251	2251 Extension for reply within first month	
1252	2252 Extension for reply within second month	
1253	2253 Extension for reply within third month	
1254	2254 Extension for reply within fourth month	
1255	2255 Extension for reply within fifth month	
1401	2401 Notice of Appeal	
1402	2402 Filing a brief in support of an appeal	
1403	2403 Request for oral hearing	
1451	1451 Petition to institute a public use proceeding	
1452	2452 Petition to revive - unavoidable	
1453	2453 Petition to revive - unintentional	
1501	2501 Utility issue fee (or reissue)	
1502	2502 Design issue fee	
1503	2503 Plant issue fee	
1460	1460 Petitions to the Commissioner	
1807	1807 Processing fee under 37 CFR 1.17(q)	
1806	1806 Submission of Information Disclosure Stmt	180
8021	8021 Recording each patent assignment per property (times number of properties)	
1809	2809 Filing a submission after final rejection (37 CFR 1.129(a))	
1810	2810 For each additional invention to be examined (37 CFR 1.129(b))	
1801	2801 Request for Continued Examination (RCE)	
1802	1802 Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180)

SUBMITTED BY

Name (Print/Type) Manu J. Telwani

Registration No. (Attorney/Agent) 37,952

(Complete if applicable)

Telephone 212-408-2500

Signature

Date

October 23, 2006

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Applicant : Hogan et al.
Serial No. : 09/833,049 Examiner: Greene, Daniel L.
Filed : April 11, 2001 Group Art Unit: 3621
For : METHOD AND SYSTEM FOR CONDUCTING SECURE
PAYMENTS OVER A COMPUTER NETWORK

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

I hereby certify that this paper is being deposited with the
United States Postal Service as first class mail in an envelope
addressed To: Commissioner for Patents, P.O. box 1450,
Alexandria, VA 22131-1450
October 23, 2006
Date of Deposit

Manu J. Tejwani
Attorney Name

37,952
Registration No.


Signature

October 23, 2006
Date of Signature

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(c), applicant brings to the attention of the
Examiner the documents listed on the attached Form PTO-1449, and respectfully requests
that the listed documents be considered by the Examiner and made of record in the
above-captioned application.

Applicants enclose copies of each foreign patent (or its English Abstract)
and all but one of the non-patent documents listed on Form PTO-1449. A copy of the last

NY02:563580

10/26/2006 RNEBRANT 00000010 09833049

01 FC:1806

180.00 CP

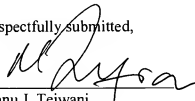
document listed — “ISO/IEC JTC 1/SC 27 Information Technologies - Security Techniques” (May 10, 1999), is not enclosed. The undersigned is attempting to acquire a copy of this document and will submit it as soon as it is available.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that the listed documents are material or constitute “prior art.” If the Examiner applies the documents as prior art against any claim in the application and applicants determine that the cited documents do not constitute “prior art” under United States law, applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of the documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should the documents be applied against the claims of the present application.

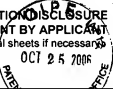
Applicant encloses a check for \$ 180 toward the fees required for this submission under § 1.17(p). Further, the Commissioner is hereby authorized to charge payment of any additional fees associated with this communication or credit any overpayment to Deposit Account No. 02-4377.

Respectfully submitted,



Manu J. Tejwani
PTO Reg. No. 37,952

Attorney for Applicants
(212) 408-2500

Form PTO-1449 U.S. DEPARTMENT OF COMMERCE (Rev. 2-32) PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use several sheets if necessary) 	ATTY DOCKET NO. 070457.1000 (AP33154)	APPLICATION NO. 09/833,049
	APPLICANT Edward J. Hogan	
	FILING DATE April 11, 2001	GROUP ART UNIT 3621

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Inventor Name	Class	Sub-class	Filing Date (if appropriate)
/PE/	3,665,161	05-23-1972	Oberhart			
	3,845,277	10-29-1974	Voss et al.			
	4,016,405	04-05-1977	McCune et al.			
	4,234,932	11-18-1980	Gorgens			
	4,253,017	02-24-1981	Whitehead			
	4,314,362	02-02-1982	Fought			
	4,860,983	06-28-1983	Hennessy et al.			
	4,438,326	03-20-1984	Uchida			
	4,458,142	07-03-1984	Bernstein			
	4,755,940	07-05-1988	Brachtl et al.			
	4,926,480	05-15-1990	Chaum			
	4,928,001	05-22-1990	Masada			
	4,959,788	09-25-1990	Nagata et al.			
	4,960,982	10-02-1990	Takahira			
	5,168,520	12-01-1992	Weiss			
	5,371,797	12-06-1994	Bocinsky Jr.			
	5,373,558	12-13-1994	Chaum			
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	5,438,186	08-08-1995	Nair et al.			
	5,440,108	08-08-1995	Tran et al.			
	5,444,616	08-22-1995	Nair et al.			
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	5,455,407	10-03-1995	Rosen			
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	5,557,518	09-17-1996	Rosen			
	5,578,808	11-26-1995	Taylor			
	5,590,197	12-31-1996	Chen et al.			
	5,623,552	04-22-1997	Lane			
	5,671,280	09-23-1997	Rosen			
	5,754,656	05-15-1998	Nishioka et al.			
	5,761,309	06-02-1998	Ohashi et al.			
	5,790,677	08-08-1998	Fox et al.			
	5,850,442	12-15-1998	Muftic			

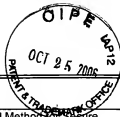


/PE/	5,936,226	08-10-1999	Aucsmith			
	5,991,412	11-23-1999	Wissenburgh et al.			
	6,018,717	01-25-2000	Lee et al.			
	6,072,870	06-06-2000	Nguyen et al.			
	6,078,888	06-20-2000	Johnson, Jr.			
	6,078,902	06-20-2000	Schenkler			
	6,098,053	08-01-2000	Slater			
	6,111,953	08-29-2000	Walker et al.			
	6,122,625	09-19-2000	Rosen			
	6,205,436	03-20-2001	Rosen			
	6,206,293	03-27-2001	Gutman et al.			
	6,213,403	04-10-2001	Bates III			
	6,327,578	12-04-2001	Linehan			
	6,332,134	12-18-2001	Foster			
	6,343,284	01-29-2002	Ishikawa et al.			
	6,394,343	05-28-2002	Berg et al.			
	6,518,927	02-11-2003	Schremmer et al.			
	6,574,730	06-03-2003	Bissell et al.			
	6,636,833	10-21-2003	Filtcroft et al.			
	6,915,279	07-05-2005	Hogan et al.			
	6,990,470	01-24-2006	Hogan et al.			
	7,058,611	06-06-2006	Kranzley et al.			
	200120034720	10-25-2001	Armes			
	20020035548	03-21-2002	Hogan et al.			
	20020083010	06-27-2002	Kim			
	20020120584	08-29-2002	Hogan et al.			
	20030120615	06-26-2003	Kuo			

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Sub-class	Translation
/PE/	WO 92/16913	10-01-1992	WIPO			
	WO 00/33497	06-08-2000	WIPO			
	WO 01/71675	09-27-2001	WIPO			
	WO 01/69556	09-20-2001	WIPO			
	WO 01/78024	10-18-2001	WIPO			
	WO 99/05633	02-04-1999	WIPO			
	EP 1 017 030	07-05-2000	European			
	EP 1 028 401	08-16-2000	European			

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)



Examiner Initial	Document Description
/PE/	Hogan et al. U.S. Provisional Patent Application No. 60/280,776, entitled "Improved System and Method for Secure Payment Application (SPA) and Universal Cardholder Authentication," filed on April 2, 2001.
	Hogan et al. U.S. Provisional Patent Application No. 60/255,168, entitled "Method and System for Conducting Secure Electronic Commerce Transactions," filed on August 14, 2000.
	Hogan et al. U.S. Provisional Patent Application No. 60/226,227, entitled "Method and System for Conducting Secure MasterCard Payments Over a Computer Network," filed on August 18, 2000.
	Hogan et al. U.S. Provisional Patent Application No. 60/213,063, entitled "An Improved Method and System for Conducting Secure Payments Over a Computer Network," filed on June 21, 2000.
	Hogan et al. U.S. Patent Application No. 09/809,367, entitled "Method and System for Secure Payments Over a Computer Network," filed March 15, 2001.
	Hogan et al. U.S. Provisional Patent Application No. 60/274,785, entitled "System and Method for Secure Payment Application (SPA) and Universal Cardholder Authentication," filed March 9, 2001.
	Hogan et al. U.S. Provisional Patent Application No. 60/295,630, entitled "Method and Process for a Secure Payment Application Using a Universal cardholder Authentication Field," filed on June 4, 2001.
	Hogan et al. U.S. Provisional Patent Application No. 60/307,575, entitled "Method and System for Conducting Transactions Over a Communication Network Using a Secure Payment Application," filed on July 24, 2001.
	Hogan et al. U.S. Provisional Patent Application No. 60/213,325, entitled "Method and System for Conducting Secure Electronic Commerce Transaction," filed on June 22, 2000.
	EMV96 Integrated Circuit Card Application Specification for Payment System, Version 3.1.1 (May 31, 1998).
	ISO/IEC JTC 1/SC 27 Information Technology - Security Techniques (May 10, 1999).

EXAMINER	/Pierre Elisca/	DATE CONSIDERED	03/17/2008
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.